

**REVOCATION OF POWER OF
ATTORNEY WITH
NEW POWER OF ATTORNEY
AND
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	101653,995
Filing Date	September 4, 2003
First Named Inventor	Yongsheng Zhao
Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket Number	71442.0038

I hereby revoke all previous powers of attorney given in the above-identified application.

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint the practitioners associated with the Customer Number:

35161

☒ Please change the correspondence address for the above-identified application to:

☒ The address associated with
Customer Number:

35161

OR

☐ Firm or
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name

Gordon Liu

Signature

Date

10/8/03

Telephone

570-390-0287

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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JAN 28 2004

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PTO/SB/96 (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Lumei Optoelectronics Corporation

Application No./Patent No.: 10/653,995 Filed/Issue Date: Sept. 4, 2003

Entitled: HIGH POWER, HIGH LUMINOUS FLUX LIGHT EMITTING DIODE AND METHOD OF MAKING SAME

Lumei Optoelectronics, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or

2. ☐ an assignee of less than the entire right, title and interest.

The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: AXT, Inc. To: Lumei Optoelectronics

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: Zhao, Yongsheng, et al. To: AXT, Inc.

The document was recorded in the United States Patent and Trademark Office at
Reel 012944, Frame 0512, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Jan. 28, 2004

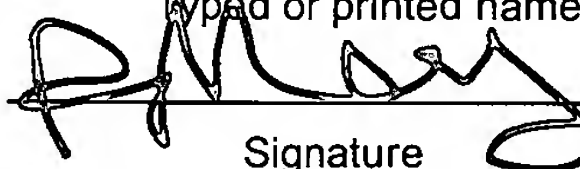
Date

(202) 659-6941

Telephone number

Robert Julian May P-55,437

Typed or printed name



Signature

PATENT AGENT

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$) 320.00

Complete if Known

Application Number

Filing Date

First Named Inventor

Examiner Name

Art Unit

Attorney Docket No.

OTPE
JAN 28 2004
U.S. PATENT AND TRADEMARK OFFICE

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit
Account
Number
Deposit
Account
Name

04-1061

Dickinson Wright PLLC

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		Extra Claims		Fee from below		Fee Paid
Independent	Multiple Dependent	-20** =	-3** =	X	X	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1051	130	2051	65	Surcharge - late filing fee or oath
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet
1053	130	1053	130	Non-English specification
1812	2,520	1812	2,520	For filing a request for ex parte reexamination
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action
1251	110	2251	55	Extension for reply within first month
1252	420	2252	210	Extension for reply within second month
1253	950	2253	475	Extension for reply within third month
1254	1,480	2254	740	Extension for reply within fourth month
1255	2,010	2255	1,005	Extension for reply within fifth month
1401	330	2401	165	Notice of Appeal
1402	330	2402	165	Filing a brief in support of an appeal
1403	290	2403	145	Request for oral hearing
1451	1,510	1451	1,510	Petition to institute a public use proceeding
1452	110	2452	55	Petition to revive - unavoidable
1453	1,330	2453	665	Petition to revive - unintentional
1501	1,330	2501	665	Utility issue fee (or reissue)
1502	480	2502	240	Design issue fee
1503	640	2503	320	Plant issue fee
1460	130	1460	130	Petitions to the Commissioner
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)
1806	180	1806	180	Submission of Information Disclosure Stmt
8021	40	8021	40	Recording each patent assignment per property (times number of properties)
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))
1801	770	2801	385	Request for Continued Examination (RCE)
1802	900	1802	900	Request for expedited examination of a design application

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 320.00

SUBMITTED BY

Name (Print/Type)

Jean C. Edwards

Registration No.
(Attorney/Agent)

41,728

Telephone

202/659-6946

Signature

Jean C. Edwards

Date

October 14, 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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RECORDATION FORM COVER SHEET
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U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

Tab settings ⇌ ⇌ ⇌

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

AXT, INC.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: September 27, 2003

2. Name and address of receiving party(ies)

Name: Lumei Optoelectronics Corp.

Internal Address: _____

Street Address: 9650 Telstar Avenue

City: El Monte State: CA Zip: 91731

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

B. Patent No.(s)

PLEASE SEE ATTACHED SCHEDULE A

Additional numbers attached? ☐ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Jean C. Edwards

Internal Address: Dickenson Wright PLLC

Street Address: 1901 L St., N.W.

Suite 800

City: Washington State: DC Zip: 20036

6. Total number of applications and patents involved: 8

7. Total fee (37 CFR 3.41).....\$ 320.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number:

04-1061

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Jean C. Edwards, Reg. No.

Name of Person Signing 41,728

Jean C. Edwards

Signature

October 14, 2003

Date

Total number of pages including cover sheet, attachments, and documents: 13

SCHEDULE A

Patent Application

<u>Serial No.</u>	<u>Patent Application No.</u>	<u>Title of Application</u>
U.S. Patent Application No. 09/626,442	6,495,867	InGaN/AlGaN/GaN Multilayer Buffer for Growth of GaN On Sapphire
U.S. Patent Application No. 10/191,886		InGaN/AlGaN/GaN Multilayer Buffer for Growth of GaN On Sapphire
U.S. Patent Application No. 09/626,444		Transparent Substrate Light Emitting Diode
U.S. Patent Application No. 09/626,445	6,420,736	Window For Gallium Nitride Light Emitting Diode
U.S Patent Application No. 10/197,614		Window for GaN LED
U.S. Patent Application No. 10/113 ,487		Apparatus And Method For Improving Electrical Conduction Structure of A Vertical Cavity Surface Emitting Laser
U.S. Patent Application No. 10/147,078		Silicon Carbide Substrate LED
U.S. Patent Application No. 10/155,001 <small>DC 71442-1 88405</small>		High Power, High Luminous Flux Light Emitting Diode And Method of Making Same

PATENT ASSIGNMENT AGREEMENT

THIS PATENT ASSIGNMENT AGREEMENT ("Assignment") is made and entered into as of this 27th day of September, 2003 ("Effective Date") by and between AXT, Inc., a Delaware corporation (hereinafter "Assignor"), and Lumei Optoelectronics Corp., a California corporation (hereinafter "Assignee").

WHEREAS, Assignor owns and holds all right, title and interest in, to and under the patents, provisional applications and patent applications (including originals, divisionals, continuations, continuations-in-part, extensions, reissues and reexams), set forth on Schedule A attached hereto and made a part hereof (hereinafter, the "Patents"); and

WHEREAS, Assignee desires to own Assignor's entire right, title and interest in, to and under the Patents and the inventions disclosed therein, in all countries throughout the world;

WHEREAS, Assignor and Assignee are parties to that certain Asset Purchase Agreement dated as of September 4, 2003 pursuant to which Assignee has purchased all right, title and interest in, to and under the Patents;

NOW, THEREFORE, in consideration of the foregoing and for other good and valuable consideration, the receipt of which is hereby acknowledged;

Assignor hereby sells, assigns, transfers, and sets over to Assignee, Assignor's entire right, title and interest in, to and under the Patents, including all such Letters Patent of the United States that have been or shall be granted on any of the Patents, and all reissues, reexaminations and extensions thereof, all rights to claim priority on the basis of the Patents, and all corresponding foreign applications that have been or may be filed for the inventions and all foreign patents or similar legal protection that have been or may be granted or issued thereon, including all extensions, renewals and reissues thereof, the same to be held and enjoyed by Assignee for its own use and enjoyment, and for the use and enjoyment of its successors, assigns, or other legal representatives, to the end of the term or terms for which said Letter Patent are or may be granted or reissued, as fully and entirely as the same would have been held and enjoyed by Assignor if this assignment and sale had not been made, together with all claims for damages by reason of past infringement of the Patents, with the right to sue for such damages, and collect the same for its own use and enjoyment, and for the use and enjoyment of its successors, assigns or other legal representatives.

Assignor hereby authorizes and requests the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for the inventions disclosed in the Patents to Assignee, its successors and assigns, in accordance with the terms of this Assignment.

Assignor further agrees to execute and deliver any and all papers that may be necessary or desirable to perfect the title to said Patents in Assignee and to make a record with any and all government agencies, authorities, courts, tribunals or third parties of the fact that Assignee owns all right, title and interest in and to the Patents. If the Assignee is unable for any reason

whatsoever to secure the Assignor's signature to any document it is entitled to under this Assignment, Assignor hereby irrevocably designates and appoints the Assignor and its duly authorized officers and agents, as Assignee's agents and attorneys-in-fact with full power of substitution to act for and on his behalf and instead of Assignor, to execute and file any such papers and to do all other lawfully permitted acts to further the purposes of the foregoing with the same legal force and effect as if executed by Assignor.

This Assignment is assignable or transferable by Assignee without notice or consent of the Assignor.

If any provision of this Assignment shall be adjudged by any court of competent jurisdiction to be unenforceable or invalid, that provision shall be limited or eliminated to the minimum extent necessary so that this Assignment shall otherwise remain in full force and effect and enforceable.

This Assignment shall be deemed to have been made in, and shall be construed pursuant to the laws of the State of California and the United States without regard to conflicts of laws provisions thereof. Any waiver of or amendment to the terms of this Assignment shall be effective only if made in writing and signed by a representative of the respective parties authorized to bind the parties. This Assignment is made in accordance with and pursuant to the terms and conditions of the Asset Purchase Agreement between the Assignor and Assignee of even date herewith (the "Purchase Agreement"). Unless otherwise defined herein, capitalized terms used herein shall have the meaning given to such terms in the Purchase Agreement.

[Remainder of page intentionally left blank]

IN WITNESS WHEREOF, Assignor has executed and delivered this instrument to Assignee effective the 2nd day of September, 2003.

ASSIGNOR
AXT, INC.

By: M. S. Young

Name: MORRIS S. Young

Title: President & CEO

ASSIGNEE
LUMEI OPTOELECTRONICS CORP.

By: Zhiqun Xiao

Name: ZHIQUN XIAO

Title: CEO

ASSIGNOR: AXT, Inc.

By: *M. J. [Signature]*
Title: President & CEO

Today's
Date: _____

STATE OF CALIFORNIA)
) ss.
COUNTY OF)

On _____ before me, _____, Notary Public,
personally appeared _____, personally known or proved to me on
the basis of satisfactory evidence to be the person whose name is subscribed to the within
instrument and acknowledged to me that he/she executed the same in his/her authorized capacity
and that by his/her signature on the instrument the person, or the entity upon behalf of which the
person acted, executed the instrument.

Witness my hand and official seal.

Notary Public

Exhibit A-2
Issued and Pending Patents Breakout for Lumei

Serial No.	Patent No.	Matter	Assign to	Title	Comments
09/626,442	6,495,867	0006	Lumei	InGaN/AlGaInP/GaN Multilayer Buffer For Growth Of GaN On Sapphire A LED constructed of AlGaInP compounds includes a multi layer window which improves the efficiency of the diode. The window, in the order of formation, includes a lightly doped first layer formed of p doped GaP; a low impedance second layer formed of p doped GaAs; an amorphous conducting layer formed of ITO, and a Ti/Au contact. In one embodiment, the contact forms ohmic connections with the second and third layers; and a Schottky diode connection with the first layer. In a second embodiment, the contact forms an ohmic connection with the third layer; and is insulated from direct contact with the first layer.	
10/191,886 US 2002/0175337 A1 Continuation of 6,495,867		0035(0006)	Lumei	InGaN/AlGaInP/GaN Multilayer Buffer For Growth Of GaN On Sapphire	
PCT/US01/23330		0007(0006)	Lumei	InGaN/AlGaInP/GaN Multilayer Buffer For Growth Of GaN On Sapphire	
PCT/US01/ 23330		0046(0006)	Lumei	Improved Buffer For Growth Of GaN On Sapphire	Europe
PCT/US01/ 23330		0051(0006)	Lumei	Improved Buffer For Growth Of GaN On Sapphire	Canada
09/626,444	Allowed	0010	Lumei	Transparent Substrate Light Emitting Diode	7/16/03

					<p>A GaN based LED comprises both a transparent substrate and a window for exiting light generated by the LED. Useful amounts of light may be utilized at the face of the window or at the face of the transparent substrate. An external optical reflector is formed directly on the external face of the LED which is not currently being used to exit useful light. If light from the window is being utilized, a DBR is formed directly on the backside of the substrate. However, if light through the substrate is being utilized, a DBR is formed directly on the light emitting portion of the window.</p>	
PCT/US01/23347			0011(0010)	Lumei	Transparent Substrate Light Emitting Diode	
PCT/US01/ 23347			0050(0010)	Lumei	Transparent Substrate Light Emitting Diode	Canada
PCT/US01/ 23347			0052(0010)	Lumei	Transparent Substrate Light Emitting Diode	Europe
09/626,445	6,420,736		0012	Lumei	<p>Window For Gallium Nitride Light Emitting Diode</p> <p>A window structure for a GaN-based LED includes a Mg+ doped p window layer of a GaN compound; a thin, semi-transparent metal contact layer; and an amorphous current spreading layer formed on the contact layer. The contact layer is formed of NiOx/Au and the current spreading layer is formed of ITO. The p electrode of the diode includes a Ti adhesion layer which forms an ohmic connection with the current spreading layer and a Schottky diode connection with the Mg+ doped window layer.</p>	
10/197,614 US 2003/0010994 A1 Continuation of 6,420,736			0038(0012)	Lumei	Window for GaN LED	
PCT/US01/23346			0013(0012)	Lumei	Window for GaN LED	
PCT/US01/ 23346			0048(0012)	Lumei	Window For GaN LED	Europe

PCT/US01/ 23346		0049(0012)	Lumei	Window For GaN LED	Canada
10/113,487	Response 8/27/03	0025	Lumei	Apparatus and Method for Improving Electrical Conduction Structure of a Vertical Cavity Surface Emitting Laser A heavily doped semiconductor layer is formed over the barrel of a vertical cavity surface emitting laser (VCSEL), providing current conduction and current spreading across and into the aperture of a laser barrel, while eliminating the need for a light-obstructing conductive electrical contact overhang. The VCSEL comprises a substrate, a firstDBR, and active region, a second DBR having a non-conductive ion implantation region and a laser barrel region with a first diameter, the heavily doped semiconductor layer, and a conductive electrical contact. The conductive electrical contact defines an opening with a second diameter that is greater than the first diameter.	
PCT/US03/09915		0054(0025)	Lumei	Same as 0025	
10/147,078		0026	Lumei	Silicon Carbide Substrate LED An LED is based on an undoped intrinsic SiC substrate on which are grown: an insulating buffer or nucleation structure; a light-emitting structure; window layers; a semitransparent conductive layer; a bond pad adhesion layer; a p-type electrode bond pad; and an n-type electrode bond pad. In one embodiment, the light-emitting surface of the substrate is roughened to maximize light emission.	
PCT of 0026		0056(0026)	Lumei	Silicon Carbide Substrate LED	
PCT/US01/50590		0059(0022)	Lumei	Improved Light Emitting Diode (Notch C2)	Malaysia
10/155,001	Allowed	0029	Lumei	High Power, High Luminous Flux Light Emitting Diode and Method of Making Same A high-power, high luminous flux LED comprises a substrate, a light-emitting structure, a first electrode and a second electrode. The LED has a top surface layout design in which the first electrode has a number of legs extending in one direction, and the second electrode has a number of	7/31/03

					legs extending in the opposite direction. At least portions of the legs of the first electrode are interspersed with and spaced apart from portions of the legs of the second electrode. This provides a configuration that enhances current spreading along the length of the legs of both electrodes.	
PCT/US03/15603			0055(0029)	Lumei	High Power, High Luminous Flux Light Emitting Diode and Method of Making Same	
Divisional of 10/155,0001 (no application number assigned)			0064(0029)	Lumei	High Power, High Luminous Flux Light Emitting Diode and Method of Making Same	